

PTO/SB/21 (01-03)

Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

|                        |                  |
|------------------------|------------------|
| Application Number     | 10/689,438       |
| Filing Date            | October 20, 2003 |
| First Named Inventor   | Luk, et al.      |
| Art Unit               | 1624             |
| Examiner Name          |                  |
| Attorney Docket Number | 21269 US2        |

Total Number of Pages in This Submission

**ENCLOSURES (Check all that apply)**

|  |   |  |
|--|---|--|
| <input type="checkbox"/> Fee Transmittal Form                                | <input type="checkbox"/> Drawing(s)                                       | <input type="checkbox"/> After Allowance Communication to Group                            |
| <input type="checkbox"/> Fee Attached  | <input type="checkbox"/> Licensing-related Papers                         | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences        |
| <input type="checkbox"/> Amendment/Reply                                     | <input type="checkbox"/> Petition   | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final   | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Proprietary Information   |
| <input type="checkbox"/> Affidavits/declaration(s)                           | <input type="checkbox"/> Power of Attorney, Revocation                    | <input type="checkbox"/> Status Letter   |
| <input type="checkbox"/> Extension of Time Request                           | <input type="checkbox"/> Change of Correspondence Address                 | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):            |
| <input type="checkbox"/> Express Abandonment Request                         | <input type="checkbox"/> Terminal Disclaimer                              |  |
| <input type="checkbox"/> Information Disclosure Statement                    | <input type="checkbox"/> Request for Refund                               |  |
| <input type="checkbox"/> Certified Copy of Priority Document(s)              | <input type="checkbox"/> CD, Number of CD(s) _____                        |  |
| <input type="checkbox"/> Response to Missing Parts/Incomplete Application    | <b>Remarks</b>  |  |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | -Request for Corrected Filing Receipt                                     |  |

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

|                    |                             |
|--------------------|-----------------------------|
| Firm or Individual | Patricia S. Rocha-Tramaloni |
| Signature          |                             |
| Date               | January 29, 2004            |

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313 on this date January 29, 2004

|                  |                             |      |                  |
|------------------|-----------------------------|------|------------------|
| Typed or printed | Patricia S. Rocha-Tramaloni | Date | January 29, 2004 |
| Signature        |                             |      |                  |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application

Inventors: Luk, et al.

Group: 1624

Serial No. 10/689,438, filed October 20, 2003  
(Ref. No. 21269 US2)

For: **PYRIMIDO COMPOUNDS HAVING ANTIPROLIFERATIVE ACTIVITY**

**REQUEST FOR CORRECTED FILING RECEIPT**

Nutley, New Jersey 07110  
January 29, 2004

Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:


Applicants respectfully request a corrected filing receipt for the captioned case correcting the "Inventor Data" as shown on the enclosed receipt copy.

Applicants have just received the filing receipt in Serial No. 10/689,438. The Inventor Data reads "Kin-Chun Luk, North Caldwell, NJ; Pamela Loreen Rossman, Nutley, NJ; Stefan Scheiblich Penzberg, Penzberg, GERMANY; Sung-Sau So, Nutley, NJ;" The Inventor Data should

Serial No. 10/689,438  
Filed: October 20, 2003

read --- Kin-Chun Luk, North Caldwell, NJ; Pamela Loreen Rossman, Nutley, NJ; Stefan Scheiblich Penzberg, GERMANY; Sung-Sau So, Nutley, NJ --- . Therefore, it is respectfully requested that a new filing receipt be issued correcting the Inventor Data.

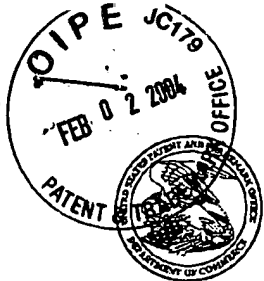
Respectfully submitted,



---

Attorney for Applicant(s)  
Patricia S. Rocha-Tramaloni  
(Reg. No. 31,054)  
340 Kingsland Street  
Nutley, New Jersey 07110  
Telephone: (973) 235-2441  
Telefax: (973) 235-2363

138469



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

| APPL NO.   | FILING OR 371<br>(c) DATE | ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLMS | IND CLMS |
|------------|---------------------------|----------|---------------|-----------------|----------|----------|----------|
| 10/689,438 | 10/20/2003                | 1624     | 1132 ✓        | 21269US2 ✓      |          | 21 ✓     | 7 ✓      |

CONFIRMATION NO. 3374

00151

HOFFMANN-LA ROCHE INC. ✓  
 PATENT LAW DEPARTMENT  
 340 KINGSLAND STREET  
 NUTLEY, NJ 07110

## FILING RECEIPT



\*OC000000011725894\*

Date Mailed: 01/21/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Kin-Chun Luk, North Caldwell, NJ; ✓  
 Pamela Loreen Rossman, Nutley, NJ; ✓  
 Stefan Scheiblich Penzberg, ~~Penzberg~~, GERMANY; ✓  
 Sung-Sau So, Nutley, NJ; ✓

## Domestic Priority data as claimed by applicant

This appln claims benefit of 60/423,670 11/04/2002 ✓

## Foreign Applications

If Required, Foreign Filing License Granted: 01/20/2004

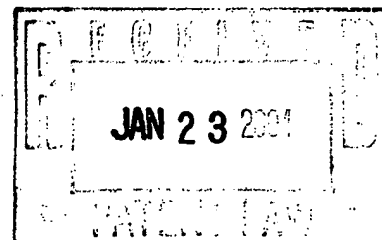
Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

## Title

Pyrimido compounds having antiproliferative activity



Copy Sent to  
 Department PLP